# APPLICATION FOR RECORDS RETENTION SCHEDULE

B 50718-12

**INSTRUCTIONS:** See Publication No. 76—RM—1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

| FOR AGENCY USE | 1. Agency Address | FOR RECORDS MANAGEMENT USE | |
|---|---|---|---|
| Application Date | Office of Comptroller General - Ins. Dept. Agents Licensing Division Computer Operations Rm. 616, West Tower, Floyd Bldg. Atlanta, GA 30334 | Application Number **85-68** | |
| Application Number | | Date Received **JUL 1 8 1985** | Date Completed **OCT 9 1985** |

| 2. Person to Contact | Working Title | Telephone Number |
|---|---|---|
| Debbie Richardson | Computer Operations Supervisor | 656-2100 |

**3. Action Requested**

a. ☒ Establish Retention Schedule; record will continue to accumulate.

b. ☐ Dispose of present accumulation; no further accumulation anticipated.

c. ☐ Amend Application No. _____ Check One: ☐ Change; ☐ Supercede; ☐ Void

| 4. Dates of Series | | 5. Records Series Title *(followed by title used in office; if different)* |
|---|---|---|
| Earliest | Latest | |
| July 1983 | To Date | Annual Renewal of Agents Certificate of Authorities - Listings |

**6. Division and Office Function** — What is the function of the Division and the Office in which this record series is created?

The Agents Licensing Division is responsible for the legal licensing of agents, counselors, brokers and adjusters for all classes of insurance by strict enforcement of the qualification requirements for all applicants.

The Computer Operations Section is responsible for batching and processing first-time license applications, renewals, certificate of authority request and annual listings, re-examination permits, permit renewals, bad checks, redeposits and refunds and balancing such with the Fiscal Department. The section also processes all insurance examinations and issues and prints licenses, failure notices, permits and letters of certification/ clearance letters to agents applying for licenses in other states.

**7. Record Series Description** — This file contains the following documents *(include form numbers and titles, if any)*: Attach samples of the file.

Documents relating to: renewing or cancelling certificate of authority powers already on file for specific companies.

Included are: Annual Computer Printout - CGCA0010 - R1 - Requisition for Agents Certificate of Authority Powers;

Batch Control Sheet, Batch Balance List, and Batch Extract Lists

File is arranged: Chronologically by Fiscal Year; thereunder numerically by assigned Batch Number.

**8. Monthly Reference Rate** — How often are records referred to which are:

One to six months old __6__; Seven to twelve months old __3__; Thirteen to twenty-four months old _____; twenty-five months and older __0__?

**9. Annual Rate of Accumulation of Records**

Letter-size drawers _____; Legal-size drawers _____; Shelves __2__; Other *(specify)* _____

| YES | NO | 10. Questionnaire    (Place an '✓' in the proper column) | |
|---|---|---|---|
| X | | a. Is this the official copy of the series? If not, where is it? | |
| | X | b. Does the series contain confidential information requiring security handling?  If yes, cite law or regulation. | |
| | X | c. Is this a vital record? | |
| | X | d. Does this series have historical or long term research value? | |
| | X | e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately? | |
| | X | f. Is the information contained in this series ever published?  If yes, attach copy. | |
| | X | g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy. | |
| | X | h. Is there a duplication of this series in your office, or in another office or agency? If yes, where? | |
| | X | i. Is this series (or a major portion of it) regularly microfilmed? | |
| X | | j. Does the record series result in a computer printout? | |

**11. Retention Requirements**     The following requires the series to be kept:

| | | |
|---|---|---|
| a. State Law | 0 years. | d. Audit period    1 years. |
| b. Statute of limitation | 2 * years. | e. Administrative need    3 1/2 years. |
| c. Federal law | 0 years. | f. Federal retention instructions    0 years. |

* See attached Sheet

Attach copy or excerpt of laws or regulations. Explain administrative need.

Information is needed to verify receipt of payments, and for reference in the event a license is not renewed in one year, but renewal is requested in a subsequent year. Also used in the event legal action is initiated against agents who have not acquired the proper licenses or certificates of authority.

**12. Approved Disposition Instructions**     This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☒ Fiscal Year; ☐ Other _____ then,

☒ Hold in the current files area __6__ month(s) _____ year(s); then
☐ Transfer to local holding area, hold _____ year(s); then
☒ Transfer to State Records Center; hold __3__ year(s); then
☒ Destroy.
☐ Transfer to State Archives for permanent retention.
☐ Other (Specify)

These instructions apply to all prior and future accumulations of the series.

| Agency Head/Designee (Signature) | Date | Records Management Officer (Signature) | Date |
|---|---|---|---|
| Jerry Holbrook | 7-15-85 | Juel Anderson | 7/16/85 |
| | | State Records Committee (Signature) | Date |
| Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)  85-68 | State Auditor/Designee | | 8-5-85 |
| | Secretary of State/Designee | Edward Weldon | 8/2/85 |
| | Attorney General/Designee | | |

AR-50-71;  Rev. 76                                         (Reverse Side)

Addition to item 11b.


These files can be used in the event a person is charged with selling insurance
without the proper licenses or authority. The charge, according to O.C.G.A.
33-5-3, would be a misdemeanor. According to O. C. G. A. 17-3-1, the statute
of limitation on a misdemeanor is two years.


(The above alteration to the schedule was made by Harmon Smith and Charles
Saxon based on authority granted to Harmon Smith by he Comptroller General's
records officer Mickey Anderson in a telephone conversation July 30, 1985.)